

## Budget/Funding Artifacts & Activities

### Summary Description:

Throughout the CMS IT investment and system life cycles, budget/funding activities are performed and associated artifacts produced at various times and for various reasons.

At the beginning of the IT investment/project life cycle, an initial [IT Fact Sheet](#) must be prepared to provide necessary information for the budget/funding decision-making process. The IT Fact Sheet is an artifact that is to be continually updated by the [Project Owner/Manager](#) throughout the life of the IT investment/project in order for the investment/project to receive continued funding.

For more information regarding CMS' current budget/funding process, see: [How do I get funding for my IT project?](#)

Each fiscal year, the [Office of Management & Budget \(OMB\)](#) requires CMS to prepare an [Exhibit 300](#) for each ["Major" IT investment/project](#). Each Exhibit 300 aligns to a line item in CMS' IT Investment Portfolio, which is reported to OMB via an Exhibit 53 in order to support CMS' annual budget request. The Exhibit 53 identifies the life cycle costs for each IT investment and aligns each investment (major and non-major) to the Department of Health & Human Services (DHHS) Strategic Plan mission areas or to enterprise operations and support. Thus, individual line items in CMS' IT Investment Portfolio (Exhibit 53) may represent a roll-up of several individual IT investments/projects. The Office of Information Services / CIO Planning, Management, and Support Group ([OIS/PMSG](#)) prepares the Exhibit 53 and Exhibit 300s for the Agency based on information provided by the [Office of Financial Management \(OFM\)](#) and the individual [Project Owners/Managers](#) of CMS' IT investments/projects.

For additional information or guidance regarding the budget/funding artifacts and activities, contact [OIS/PMSG](#).

## **Exhibit 300**

### **Summary Description:**

The Exhibit 300, also known as the OMB Capital Asset Plan and Business Case Summary, is an annual document required by the Office of Management & Budget (OMB), which refers to the requirements described in Section 300 of the OMB Circular A-11. The information provided in the Exhibit 300 justifies new or continued funding for a "Major" IT investment/project by demonstrating a direct connection to the President's Management Agenda, the Department of Health & Human Services (DHHS) Strategic Goals, the CMS Strategic Plan, positive return on investment, sound acquisition planning, risk mitigation and management planning, realistic cost and schedule goals, measurable performance benefits, and adherence to architecture, security, and privacy standards. The Exhibit 300 contains three major sections: 1) a summary of spending by fiscal year for planning, acquisition, and maintenance activities; 2) justification, alternatives, and risks; and 3) original baseline and current cost, schedule, and performance goals. An initial Exhibit 300 is prepared based on the results of the Business Case Analysis (BCA). In subsequent years, there is a focus on the third section of the Exhibit 300 comparing the baseline information with the current project status.

### **Status:**

**Conditionally Mandatory** - All ["Major" IT Investments/Projects](#) must have an Exhibit 300 prepared upon completion of the [Business Case Analysis \(BCA\)](#) and subsequent investment approval from the CMS Information Technology Investment Review Board (ITIRB). In addition, an updated Exhibit 300 must also be prepared on an annual basis throughout the remainder of the IT investment life cycle.

### **Timeframe:**

The Exhibit 300 is initially prepared during the [Business Case Analysis \(BCA\) Phase](#) after the [Investment Selection Review \(ISR\)](#) has been completed, but is updated on an annual basis thereafter regardless of the lifecycle phase that the project is currently in at the time. The information provided in the [Business Case Analysis \(BCA\)](#) is used to prepare the initial Exhibit 300.

### **Responsible Reviewing Component:**

[OIS/PMSG](#) is the CMS component that has the primary decision authority over the need for an Exhibit 300, requirements for its creation, and acceptance of the end product in meeting the information needs.

### **Primary Information Exchange Partners:**

The following are the primary stakeholders who have an interest in the content of the Exhibit 300:

Department of Health & Human Services (DHHS)  
[Office of Management & Budget \(OMB\)](#)

#### **Government Responsibilities:**

The [Project Owner/Manager](#) collaborates with [OIS/PMSG](#) in the preparation of the Exhibit 300 by providing and reviewing the information necessary for the completion of this artifact.

#### **Contractor Responsibilities:**

A contractor may be utilized to assist in the preparation of the Exhibit 300.

#### **Content:**

The content of the Exhibit 300 is essentially the same information that is provided in the [Business Case Analysis \(BCA\)](#). Reference the [Business Case Analysis \(BCA\) Development Guide](#) for a description of the specific information provided in the Exhibit 300.

#### **Guidance:**

For additional information regarding the completion of an Exhibit 300, contact [OIS/PMSG](#).

#### **Review Process:**

The completed Exhibit 300 is submitted to the Department of Health & Human Services and then on to the Office of Management & Budget (OMB) for consideration. The information provided in the Exhibit 300 is used by the Department when ranking or prioritizing IT investments, and is used by OMB as a basis for validating funding decisions. The Exhibit 300 also provides the Department with greater insight into CMS' management of IT investments, and better enables the Department to advocate on behalf of CMS. OMB requires the Department to perform a self-scoring on each submitted Exhibit 300. The scoring categories include performance goals, acquisition strategy, enterprise architecture, security, project management, risk management, performance-based management system, life cycle costs formulation, alternatives analysis, and support of the President's Management Agenda items.

#### **Date Created/Modified:**

March 2002/January 2005